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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
FIDUCIARY COMPLETION UNDER RULE 53(f)  
ORIGINAL PAPER  
ORIGINALY FILED

## PATENT APPLICATION of

Inventors: Keith D. ALLEN  
Appln. No.: 09/900,518  
Filed: July 6, 2001  
Title: Transgenic Mice Containing CX2 Gene Disruptions

Order/Docket No. R-716  
Deposit Account No. 50-1271  
Customer No. 29916

Date: December 28, 2001

Commissioner for Patents  
BOX MISSING PARTS  
Washington, D.C. 20231

Sir:

The following **completes the filing** under Rule 53(f) of the above-identified patent application:

1. ☒ Enclosed is a copy of the Notice to File Missing Parts.
2. ☒ Enclosed is a signed Declaration: ☒ Original / ☐ facsimile/copy
3. ☒ Enclosed are two Assignments and a cover sheet. Please return the recorded Assignments to the undersigned.
4. ☒ Enclosed is a set of drawings with corrections made.
5. ☒ Enclosed is a printed sequence listing and a diskette containing same.
6. ☒ Applicant states that the content of the sequence listing information recorded in computer readable form is identical to the written sequence listing and includes no new matter, as required by 37 CFR 1.821.
7. ☒ Applicant hereby claims "small entity" status in accordance with 37 CFR § 1.27.

## THE FOLLOWING FILING FEE IS BASED ON CLAIMS AS FILED LESS ANY ABOVE CANCELLED

Basic Filing Fee.....				\$370.	\$	\$370.00	201
Total Claims	41	minus 20 =	21	x 9.	+	189.00	203
Independent Claims	17	minus 3 =	14	x 42.	+	588.00	202
Multiple Dependent Claims				140.	+	140.00	
Surcharge for filing Declaration/filing fee late				65.	+	65.00	205
FILING FEE:					=	\$ 1,352.00	
Original due date: November 28, 2001							
Petition is hereby made to extend the original due date to cover the date of this response, for which the requisite fee is enclosed.				\$ 55. / 200. 460. / 720.		55.00	
If Assignment is included, add recording fee.....				\$ 40.	+	40.00	581
TOTAL FEE (\$1,392. enclosed; authorization to charge balance of \$55.):						=	\$1,447.00

**CHARGE STATEMENT:** The Commissioner is hereby authorized to charge the amount of \$55. and any missing fees required, or credit any overpayment, to our Account/Order No. shown above, for which a duplicate copy of this sheet is enclosed.

DELTAGEN, INC.

740 Bay Road  
Redwood City, CA 94063  
Tel: (650) 569-5174  
Fax: (650) 569-5574

Mariette A. Lapiz, Reg. No. 44,202

I certify that the enclosed papers are being deposited with the U.S. Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, BOX MISSING PARTS, Washington, D.C. 20231, on 12/28/01, 2001.

Gayle D. Peterson

R-716

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WASHINGTON, D C 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/900,518	07/06/2001	Keith D. Allen	R-716

DELTA GEN, INC.  
1003 Hamilton Avenue  
Menlo Park, CA 94025

CONFIRMATION NO. 3954

## FORMALITIES LETTER



\*OC000000006813133\*

Date Mailed: 09/28/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

## Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 355 to complete the basic filing fee for a small entity.*
- Total additional claim fee(s) for this application is \$839.
  - \$144 for 16 total claims over 20.
  - \$560 for 14 independent claims over 3.
  - \$135 for multiple dependent claim surcharge.
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 1259.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. ( 5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);
- This application clearly fails to comply with the requirements of 37 C.F.R. 1.821-1.825. Applicant's attention

is directed to the final rulemaking notice published at 55 FR 18230 (May 1, 1990), and 1114 OG 29 (May 15, 1990). If the effective filing date is on or after July 1, 1998, see the final rulemaking notice published at 63 FR 29620 (June 1, 1998) and 1211 OG 82 (June 23, 1998). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing", an initial paper or compact disc copy of the "Sequence Listing", as well as an amendment directing its entry into the application. Applicant must also provide a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

For questions regarding compliance to these requirements, please contact:

- For Rules Interpretation, call (703) 308-4216
- To Purchase PatentIn Software, call (703) 306-2600
- For PatentIn Software Program Help, call (703) 306-4119 or e-mail at [patin21help@uspto.gov](mailto:patin21help@uspto.gov) or [patin3help@uspto.gov](mailto:patin3help@uspto.gov)

*A copy of this notice MUST be returned with the reply.*



Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 3 - OFFICE COPY

**DISK TO STIC**

DATE: \_\_\_\_\_

